

Account #



:  
Account Short Name: EPSTEIN  
Symbol  
CUSIP  
939336S20  
90184L102  
81760NAN9  
800677106  
80283M101  
780097713  
P7807HAF2  
N51488117  
539439AG4

G4S15PP48  
G5433BBG8  
46625HHA1  
48126NVE4  
46625H100  
42210PAQ5  
42222G108  
37045V100  
375558103  
369622SN6  
369604103  
350465100  
30303M102  
270321AC6  
842400FU2  
97717W851  
MMFDWGI  
064058100  
09062X103  
06739FHK0  
12669DYS1  
060505DT8  
04351G101  
04033A100  
037612306  
02005N308  
361860208  
037833100  
AAL 01172015 P 20 99QADTZQ0  
AAL 01172015 C 20 99QADTZJJ  
Sec. Description  
WASHINGTON MUT MTG SECS CORP 2004-RA2 MTG PASSTHRU CTF CL C-B-1 VAR RATE  
6.972% 07/25/33 B/E DTD 06/01/04 N/C  
TWITTER INC COM  
SERVICEMASTER CO SR NT - CUSIP FULLY EXCHANGED FROM OLD CUSIP 81760NAL3  
8.000% 02/15/20 B/E DTD 02/13/12 CLB  
CLB 02/15/15 @106.000  
SANGAMO BIOSCIENCES INC COM  
SANTANDER CONSUMER USA HLDGS INC COM  
ROYAL BK SCOTLAND GP PLC SPON ADR REPSTG SER T PFD CPN-7.25% FREQ QRTLY PERP  
MTY CALL@25 ANY W/30 D NOTICE  
AFTR 12/31/12  
PETROLEOS DE VENEZUELA NOTES SENIOR ISIN#XS0460546525 5.000% 10/28/15 REG  
DTD 10/28/09 N/C  
MOBILEYE NV AMSTELVEEN ORD SHS ISIN#NL0010831061  
LLOYDS BANKING GROUP PLC FXD RATE RESET ADDL TIER 1 SECS ISIN#US539439AG42  
7.500% 09/27/88 B/E DTD 04/07/14 CLB  
CLB 06/27/24 @100.000  
LLOYDS TSB BK PLC EURO ISSUE MEDIUM TERM NOTES ISIN#XS0717735822 9.875%  
12/16/21 REG DTD 12/16/11 CLB CLB  
12/16/16 @100.000

LBG CAPITAL NO 1 PLC 144A ISIN#XS0473106283 8.000% 09/15/88 REG DTD 12/15/09  
 CLB CLB 06/15/20 @100.000  
 JPMORGAN CHASE & CO DEP SHS REPSTG 1/10TH PFD SER 1 FIXED TO FLTG RT BD  
 7.900% 04/29/49 B/E DTD 04/23/08 CLB CLB  
 04/30/18 @100.000  
 JPMORGAN CHASE & CO MEDIUM TERM NTS CAPPED CONTINGENT BUFFERED EQUITY NTS  
 0.000% 10/16/14 B/E DTD 09/27/13  
 N/C  
 JP MORGAN CHASE & CO COM ISIN#US46625H1005  
 HEADWATERS INC GTD SR NT 7.625% 04/01/19 B/E DTD 03/11/11 CLB CLB 04/01/15  
 @103.813  
 HEALTH NET INC COM  
 GENERAL MTRS CO COM  
 GILEAD SCIENCES INC  
 GENERAL ELEC CAP CORP NON CUM PFD SER A 7.125% 06/12/62 B/E DTD 06/12/12 CLB  
 CLB 06/15/22 @100.000  
 GENERAL ELECTRIC CO COM  
 FOUNDATION MEDICINE INC COM  
 FACEBOOK INC CL A  
 EARHLINK INC GTD SR NT FULLY EXCHANGED CUSIP FROM 270321AB8 8.875% 05/15/19  
 B/E DTD 05/17/11 CLB CLB 05/15/15  
 @104.438  
 SOUTHERN CALIF EDISON CO PREF SER E 6.250% 02/01/22 B/E DTD 01/17/12 CLB CLB  
 02/01/22 @100.000  
 WISDOMTREE TR JAPAN HEDGED EQUITY FD  
 DWS GOVERNMENT CASH INSTL  
 BANK OF NEW YORK MELLON CORP COM  
 BIOGEN IDEC INC COM  
 BARCLAYS BK PLC CONTINGENT CAP NT ISIN#US06739FHK03 7.750% 04/10/23 B/E DTD  
 04/10/13 CLB CLB 04/10/18 @100.000  
 COUNTRYWIDE HOME LOANS SER 03-1 CL B1 4.090% 03/25/33 B/E DTD 01/30/03 N/C  
 BANK AMER CORP PERP NON COMULATIVE DEP SHS FIXED TO FLOAT 8.125% 04/30/58 B/-  
 E DTD 04/30/08 CLB CLB 05/15/18  
 @100.000  
 ASCENA RETAIL GROUP INC COM  
 ARIAD PHARMACEUTICALS INC  
 APOLLO GLOBAL MGMT LLC CL A SHS  
 ALLY FINL INC FIX TO FLT DIV-8.50% FREQ-QTRLY CALLABLE @ 25.00 ON A QTRLY  
 BASIS AFTER 05/15/2016  
 GMAC CAP TR I GTD TR PFD SECS SER 2 CPN- 8.125% FREQ QRTLY MATY-02/15/2040  
 CALL ANYTIME @25 W/30 DAYS BEGINS  
 02/15/16  
 APPLE INC COM  
 PUT 100 AMERICAN AIRLS GROUP INC COM EXP 01-17-15@20.000 OPTION ROOT= AAL  
 CALL 100 AMERICAN AIRLS GROUP INC COM EXP 01-17-15@20.000 OPTION ROOT= AAL  
 Quantity  
 1,290,000  
 1,500  
 1,440,000  
 50,000  
 1,000

120,000  
2,500,000  
800  
1,903,000  
1,500,000  
1,200,000  
5,000,000  
1,000,000  
2,903  
1,000,000  
25,000  
97,525  
8,100  
2,000,000  
23,000  
49,830  
17,500  
1,000,000  
3,000,000  
60,000  
20,413,989.2800  
250,000  
2,095  
300,000  
4,500,000  
2,000,000  
70,500  
16,535  
263,157  
126,600  
80,000  
164,000  
-1,000  
1,000

Position Val.

Sec. Type

Position Held

648,526.81CORPORATE BOND USD

79,125.00COMMON STOCK

USD

1,540,800.00CORPORATE BOND USD

648,500.00COMMON STOCK

19,160.00COMMON STOCK

USD

USD

3,040,800.00PREFERRED STOCK USD

2,128,125.00CORPORATE BOND USD

44,608.00COMMON STOCK

USD

1,962,468.75CORPORATE BOND USD

1,755,000.00CORPORATE BOND USD

1,306,800.00CORPORATE BOND USD  
5,487,500.00CORPORATE BOND USD  
1,064,500.00CORPORATE BOND USD  
172,409.17COMMON STOCK  
USD  
1,052,500.00CORPORATE BOND USD  
1,163,000.00COMMON STOCK  
3,246,607.25COMMON STOCK  
872,775.00COMMON STOCK  
USD  
USD  
USD  
2,345,000.00CORPORATE BOND USD  
597,540.00COMMON STOCK  
1,138,117.20COMMON STOCK  
1,357,125.00COMMON STOCK  
USD  
USD  
USD  
1,020,000.00CORPORATE BOND USD  
3,305,640.00CORPORATE BOND USD  
3,084,600.00COMMON STOCK  
20,413,989.28MONEY FUND  
9,760,000.00COMMON STOCK  
696,126.60COMMON STOCK  
USD  
USD  
USD  
332,250.00CORPORATE BOND USD  
896,643.20CORPORATE BOND USD  
2,205,000.00CORPORATE BOND USD  
1,199,910.00COMMON STOCK  
95,903.00COMMON STOCK  
6,228,926.19COMMON STOCK  
USD  
USD  
USD  
3,418,200.00PREFERRED STOCK USD  
2,132,000.00PREFERRED STOCK USD  
16,519,720.00COMMON STOCK  
-7,000.00OPTION  
1,705,000.00OPTION  
USD  
USD  
USD  
USDE Val.  
Acct. Type  
648,526.810CASH  
79,125.000CASH  
1,540,800.000CASH  
648,500.000CASH

19,160.000CASH  
3,040,800.000CASH  
2,128,125.000CASH  
44,608.000CASH  
1,962,468.750CASH  
1,755,000.000CASH  
1,306,800.000CASH  
5,487,500.000CASH  
1,064,500.000CASH  
172,409.170CASH  
1,052,500.000CASH  
1,163,000.000CASH  
3,246,607.250CASH  
872,775.000CASH  
2,345,000.000CASH  
597,540.000CASH  
1,138,117.200CASH  
1,357,125.000CASH  
1,020,000.000CASH  
3,305,640.000CASH  
3,084,600.000MARGIN  
20,413,989.280CASH  
9,760,000.000CASH  
696,126.600CASH  
332,250.000CASH  
896,643.200CASH  
2,205,000.000CASH  
1,199,910.000CASH  
95,903.000CASH  
6,228,926.190CASH  
3,418,200.000CASH  
2,132,000.000CASH  
16,519,720.000CASH  
-7,000.000SHORT  
1,705,000.000MARGIN

Trans. Type

Long  
Long

Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Long  
Short  
Long  
Last Price<sup>3</sup>  
87.0130  
52.750009/10/2014 13:05:04 ET  
107.0000  
12.970009/10/2014 13:05:02 ET  
19.160009/10/2014 13:05:02 ET  
25.340009/10/2014 13:04:02 ET  
85.1250  
55.760009/10/2014 13:05:03 ET  
103.1250  
117.0000  
108.9000  
109.7500  
106.4500  
59.390009/10/2014 13:05:04 ET  
105.2500  
46.520009/10/2014 13:05:01 ET  
33.290009/10/2014 13:05:04 ET  
107.750009/10/2014 13:05:02 ET  
117.2500  
25.980009/10/2014 13:05:03 ET  
22.840009/10/2014 13:04:01 ET  
77.550009/10/2014 13:05:04 ET  
102.0000  
110.1880  
51.410009/10/2014 13:05:03 ET  
1.0000

39.040009/10/2014 13:05:02 ET  
332.280009/10/2014 13:05:03 ET  
110.7500  
85.9530  
110.2500  
17.020009/10/2014 13:02:04 ET  
5.800009/10/2014 13:05:03 ET  
23.670009/10/2014 13:05:03 ET  
27.000009/10/2014 13:03:05 ET  
26.650009/10/2014 13:04:03 ET  
100.730009/10/2014 13:05:04 ET  
0.070009/09/2014  
17.050009/09/2014  
2.14  
0.81  
-0.19  
0.02  
-0.84  
Price Date  
Chg.  
0.33  
-0.68  
0.22  
1.86  
0.08  
0.63  
0.88  
0.81  
0.25  
5.45  
0.08  
0.05  
0.12  
-0.04  
-0.04  
2.74  
0.00  
0.00